
IT Plan – Agency Submitted

413 DEPT OF FINANCIAL INST

Version: 2007-B-01-00413

Project: Infrastructure

Date: 10/13/2006

Time: 7:22:42 AM

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Agency IT Overview

Agency IT Plan Contact Data

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Agency Technology Goals And Objectives

The Department of Financial Institutions (DFI) operates out of four locations, the Bismarck main office and three field offices in Bismarck, Minot, and Fargo. As part of the 2007-2009 optional budget the Department will include funding for a field office in Grand Forks beginning July 1, 2007. The Department needs to purchase IT equipment for the office, such as fax machine, desktop copier, and hookup for telephone and internet. All other locations have telephone, fax, email system, T1 lines, or cable internet access. The Department will be replacing all desktop and laptop computers this biennium as the laptops were purchased in June 2003, and the desktop computers were purchased prior to June 2003. IT activity includes monthly telephone expenses, local and long distance charges, monthly T1 lines, cable internet access for each field location, and long distance charges which are incurred when crews are away from a major city with local access. The Department will continue to access the State Enterprise System. Daily backup of all files is conducted by ITD, with data stored at the State Capital as well as off site. The Department is connected to the ITD server and will continue to operate a network system in order to provide access to Department information by multiple users. The hardware and software plans will be monitored to ensure upgrades to software and replacement hardware are obtained according to the replacement schedule.

The types of software supported by the Department include MS Office, GENESYS, ALERT, and ED (provided by FDIC). Considerations for software updates are based on the needs of the Department, compatibility with GENESYS, and the desire to operate consistent versions throughout the Department to avoid compatibility issues. The Department standards are based on the compatibility of software with the FDIC and Federal Reserve issued software used in the examination process. The Department is in the process of implementing an EDMS system. This will allow for further automation of applications and forms used by the Department. The database of records will provide Department staff immediate access to information such as financial institutions examinations, applications, and any correspondence received regarding a financial institution or licensee. The Department will also need to purchase encryption software for sensitive information stored on the examiner's computers. The Department is also looking at methods to provide secure email for confidential information exchanged between the DFI personal, financial institutions and other regulators.

The Department will continue to enhance the Department web page and upgrade the Department records management program. The Department has ongoing cost for programming to the records management program. The Department continually works on automating the licensing applications process by simplifying access to the necessary forms by companies attempting to do business in this state. Placing the web page on the state website, the Department is joining in the cooperative effort to develop a shared infrastructure. The Department is continually placing additional information on its website, accessible at the fingertips of North Dakota and U.S citizens. The Department will

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need to find a software system to replace the records management program as the Department was informed by ITD that power builder is phasing out and the record management program runs on power builder. The Department will need to budget for replacement of this software in the 2009-2011 biennium.

Currently, there is no technology equipment other than computers and printers that are critical to this agency. The Department plans to replace all of the laptops and desktops every other biennium. This would allow the Department to maintain consistency throughout the office concerning the types and versions of software used. The types of software will be determined based on compatibility with FDIC examination software programs. Computer replacement will be in the 2007–2009 budget.

The Credit Union division uses computers leased from the National Credit Union Association (NCUA). These units are used to access the NCUA network and upload examination information to NCUA. The computers are not connected to the state network and use dial access and modem to connect to the NCUA. NCUA provides the hardware and software to the Department at no cost.

The Department of Financial Institutions does not have an IT Department nor are there any fulltime equivalent employees dedicated solely to information technology. The Department uses the ITD staff for installing and assisting users to adapt to new software. The Department also uses ITD for contract work and services, reviewing and updating hardware and software, implementing a network within the Department that is connected to the statewide network, troubleshooting, upgrading, and training of staff. No outside technical support is provided by the Department. The Department has been able to meet the information technology needs through the use of Department personnel and ITD staff.

The Department goals and objectives are to continue developing a system that will automate all Department records by completing an imaging process to provide accessibility to records by field staff.

Provide accessibility to records by field staff; eliminate storage space within the Department, and disaster recovery of original records.

Maintain public confidence in North Dakota financial institutions by ensuring the financial industry operates in a safe and sound manner while complying with applicable rules and laws.

The conversion of existing data into an electronic format will provide Department staff immediate access to information such as financial institutions examinations, applications, and any correspondence received regarding a financial institution or licensee.

Disaster recovery of original records.

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1. If applicable, describe the reason for any extraordinary increase or decrease in your infrastructure costs.

Replacement of all laptop and desktop computers.

2. Total number of desktop computers: 5
Number of desktops for which you are requesting replacement funding: 5
Average replacement cost/desktop: 1,328

3. Total number of laptop computers: 19
Number of laptops for which you are requesting replacement funding: 19
Average replacement cost/laptop: 1,849

What state planning region are these desktop/laptop computers located?

Region 1	0	2	3	3	0	4	4	5	4	6	0	7	13	8	0
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4. What percentage of these pcs are running the following operating systems:

(total should be equal to 100%)

Windows 98	0 %
Windows NT	0 %
Windows 2000	0 %
Windows XP	100 %
Other	0 %

5. What additional expenditures are being paid out of non-appropriated funds? 0

Please explain:

Agency Technology Activities

The Department of Financial Institutions (DFI) operates out of four locations, the Bismarck main office and three field offices in Bismarck, Minot, and Fargo. As part of the 2007-2009 optional budget the Department will include funding for a field office in Grand Forks beginning July 1, 2007. The Department needs to purchase IT equipment for the office, such as fax machine, desktop copier, and hookup for telephone and internet. All other locations have telephone, fax, email system, T1 lines, or cable internet access. The Department will be replacing all desktop and laptop computers this biennium as the laptops were purchased in June 2003, and the desktop computers were purchased prior to June 2003. IT activity includes monthly telephone expenses, local and long distance charges, monthly T1 lines, cable internet access for each field location, and long distance charges which are incurred when crews are away from a major city with local access. The Department will continue to access the State Enterprise System. Daily backup of all files is conducted by ITD, with data stored at the State Capital as well as off site. The Department is connected to the ITD server and will continue to operate a network system in order to provide access to Department information by multiple users. The hardware and software plans will be monitored to ensure upgrades to software and replacement hardware are obtained according to the replacement schedule.

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		CURRENT APPROPRIATION	BUDGET REQUEST	OPTIONAL ADJUSTMENTS	REQUEST PLUS OPTIONALS	SUBSEQUENT BIENNIUM
IT5310	IT SOFTWARE AND SUPPLIES	\$15,487	\$20,846	\$0	\$20,846	\$201,500
IT5510	IT EQUIPMENT UNDER \$5000	\$10,185	\$41,771	\$0	\$41,771	\$6,300
IT6010	IT DATA PROCESSING	\$160,025	\$124,660	\$5,330	\$129,990	\$129,000
IT6020	IT COMMUNICATIONS	\$25,540	\$31,712	\$2,380	\$34,092	\$37,200
IT6930	IT EQUIPMENT OVER \$5000	\$7,500	\$0	\$0	\$0	\$0
	Total Budget:	\$218,737	\$218,989	\$7,710	\$226,699	\$374,000
242	FINANCIAL INSTIT. REGULATORY FUND	\$218,737	\$218,989	\$7,710	\$226,699	\$374,000
	Total Funding:	\$218,737	\$218,989	\$7,710	\$226,699	\$374,000